

North Carolina Department of Health and Human Services Division of Mental Health, Developmental Disabilities and Substance Abuse Services

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To: Area Directors

Pioneer Coordinators

Medical Records Coordinators

From: John F. Baggett, Ph. D.

Subject: GAF based LOE for Adult Mental Health and Adult Substance Abuse

Sample forms for Consumer Data Warehouse

Effective July 1, 1999, the Global Assessment of Functioning (GAF) will be used as the basis for Adult Mental Health and Adult Substance Abuse Level of Eligibility (LOE) assessments. The North Carolina Functional Assessment Scale (NCFAS) will no longer be used as the basis for LOE assessments. Please note that there are no changes to the Child Substance Abuse, Child Mental Health, Child Developmental Disability or Adult Developmental Disability LOE assessments.

Instructions and a revised GAF version Eligibility Checklist are enclosed. This supercedes Pioneer Operating Manual Volume III, Section 3, pages 10 - 12(NCFAS), the Adult Mental Health and Adult Substance Abuse portions of Section 4, and Appendix D. Please begin using the GAF based LOE assessment effective July 1, 1999. Please contact Tim Wildfire (Phone 919.733.0596 email Tim.Wildfire@ncmail.net) regarding LOE assessment changes.)

Please note that that the LOE Reporting Form is no longer required, as cited in the May 1999 Statistical Reporting Requirements. LOE assessment data will be sent to the Division in an electronic format, as part of the Consumer Data Warehouse system. Prototype samples of LOE data collection forms that contain the data required for reporting to the Consumer Data Warehouse are enclosed. In addition, prototype sample Client Identification and Demographic forms and Substance Abuse data forms are enclosed. The use of these forms are not required. However, the data must be reported electronically to the Division in the format specified in the May 1999 Statistical Reporting Requirements. Please contact Deborah Merrill (Phone 919.733.4460 e-mail Deborah.Merrill@ncmail.net) regarding Consumer Data Warehouse reporting requirements.

cc Executive Staff

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Global Assessment of Functioning (GAF) based LOE Assessments for Adult Mental Health and Adult Substance Abuse

Beginning July 1, 1999 the GAF is used as the basis for LOE assessment for Adult Mental Health and Adult Substance Abuse clients. The North Carolina Functional Assessment Scale (NCFAS) is no longer used for LOE Assessment. (Please note that there is no change in the LOE assessment for Child Mental Health, Child Substance Abuse, or Child and Adult Developmental Disability.)

The Global Assessment of Functioning (GAF) scale is commonly used as Axis V of the DSM IV diagnosis. In North Carolina, the GAF is also used in Level of Care assessment and Client Outcome assessment. This section addresses the use of the GAF for LOE assessment. The GAF is used for LOE assessment for Adult Mental Health and Adult Substance Abuse clients.

GAF scores range from 100 for a high functioning individual to 1 for a very low functioning individual. For the purpose of LOE assessment, the GAF score is based on the lowest functioning over the past week.

A set of training materials in the use of the GAF is available from the Institute for Behavioral Health Care, 4370 Alpine Road Suite 209, Portola Valley, CA. 94028. Phone 650.851.8411. The guideline presented below are based on "Effective Use of the GAF" by Michael B. First MD. This booklet is available from the source cited above.

Please use the following steps as guidelines in establishing a GAF score:

- Step 1: Starting at the highest level, ask yourself, "Is either the patient's symptom severity or the patient's level of functioning worse than what is indicated in the range?"
- Step 2: Move down until the range matches symptom severity or the level of functioning, whichever is worse.
- Step 3: Double check: range immediately below should be too severe on both symptoms and level of functioning. If not, keep moving down.
- Step 4: Determine the specific number within the 10 point range, based on a hypothetical comparison with all patients in the range.

Global Assessment of Functioning (GAF Scale)

Consider psychological, social and occupational functioning on a hypothetical continuum of mental health - illness. Do not include impairment of functioning due to physical (or environmental) limitations.

- 100 91 Superior functioning in a wide range of activities, life's problems never seem to get out of hand, is sought out by other because of his or her many positive qualities. No symptoms.
- 90-81 Absent or minimal symptoms (e.g. mild anxiety before an exam), good functioning in all areas, interested and involved in a wide range of activities, socially effective, generally satisfied with life, no more than everyday problems or concerns (e.g. an occasional argument with family members.)
- 80-71 If symptoms are present, they are transient and expectable reactions to psychological stressors (e.g. difficulty concentrating after a family argument), no more than slight impairment in social, occupational or school functioning (e.g. temporarily falling behind in school work)
- 70-61 Some mild symptoms (e.g. depressed mood and mild insomnia) OR some difficulty in social, occupational or school functioning (e.g. occasional truancy or theft within the household), but generally functioning pretty well, has some meaningful interpersonal relationships.
- 60-51 Moderate symptoms (e.g. flat affect and circumstantial speech, occasional panic attacks) OR moderate difficulty in social, occupational or school functioning (e.g. few friends, conflicts with peers or co-workers)
- 50- 41 Serious symptoms (e.g. suicidal ideation, severe obsessional rituals, frequent shoplifting) OR any serious impairment in social, occupational or school functioning (e.g. no friends, unable to keep a job)
- 40-31 Some impairment in reality testing or communication (e.g. speech is at times illogical, obscure or irrelevant) OR major impairment in several areas, such as work or school, judgement, thinking or mood (e.g. depressed man avoids friends, neglects family and is unable to work; child frequently beats up younger children, is defiant at home and is failing at school)
- 30-21 Behavior is considerably influenced by delusions or hallucinations OR serious impairment in communication or judgement (e.g. sometime incoherent, acts grossly inappropriate, suicidal occupation) OR inability to function in almost all areas (e.g. stay in bed all day; no job home or friends)
- 20- 11 Some danger of hurting self or others (e.g. suicidal attempts without clear expectation of death; frequently violent; manic excitement) OR occasionally fails to maintain minimal personal hygiene (e.g. smears feces) OR gross impairment in communication (e.g largely incoherent or mute)
- 10- 1 Persistent danger of hurting self or others (e.g. recurrent violence) OR persistent inability to maintain minimal personal hygiene OR serious suicidal act with clear expectation of death
- 0 Inadequate information

(Primary Source: DSM IV Diagnosis Manual)

For LOE Assessment, base rating on the lowest functioning during the past week. Please keep in mind that other factors in addition to the GAF score, such as service dependency and dual disability, are also considerations in determining a client's Level of Eligibility.

ELIGIBILITY CHECKLIST (GAF version)

Division of Mental Health, Developmental Disability and Substance Abuse Services

Case # _ _ _ _ Date _ _/_ _/_ _ Name **ADULT MENTAL HEALTH** ADULT SUBSTANCE ABUSE **CHECK LIST** CHECK LIST Individual is 18 or over Individual is 18 or over (Proceed if yes; to Child Mental Health if no) (Proceed if yes; to Child Substance Abuse if no) Level I Level I A. 1 year diagnosable DSM IV psychiatric disorder A. 3 year history and DSM IV dependence diagnosis B. acute and major impairment in ability to function B. More than 3 episodes of restrictive treatment w/ relapses C. GAF Score of 30 or lower C. GAF Score of 30 or lower IF A, B AND C CHECKED, THEN LEVEL I IF A, B AND C CHECKED, THEN LEVEL I LEVEL II LEVEL II A. DSM IV psychiatric disorder A. DSM IV dependence diagnosis AND AND GAF score of 50 or lower --- OR----GAF score of 50 or lower --- OR----GAF score between 51 - 70 and service dependency GAF score between 51 - 70 and service dependency DSM IV psychiatric disorder and dual disability DSM IV substance abuse disorder and dual disability GAF score over 50 and dual disability GAF score over 50 and dual disability IF A AND B CHECKED THEN LEVEL II OR IF A AND B CHECKED THEN LEVEL II OR IF C CHECKED THEN LEVEL II IF C CHECKED THEN LEVEL II LEVEL III LEVEL III A. Diagnosable DSM IV psychiatric disorder A. DSM IV abuse or dependency disorder AND AND B. GAF Score of 70 or lower B. GAF Score of 70 or lower LEVEL IV LEVEL IV At known risk of developing a substance abuse disorder A. Known risk of developing an emotional disorder **CHILD SUBSTANCE ABUSE** CHILD MENTAL HEALTH CHECKLIST Individual is under 18 years old CHECK LIST (Proceed if yes, to Adult Mental Health if no) Individual is under 18 LEVEL I (Proceed if yes; to Adult Substance Abuse if no) **A.** ___Over age 10; >12 mo. _ Age 10 or under; >3 mo LEVEL I OR diagnosable DSM IV diagnosable DSM IV A. 1 year history and DSM IV dependency diagnosis psychiatric disorder psychiatric disorder OR _ Age 5 or under; significantly atypical development B. Total CAFAS score = or > 60 Out of home place- OR ___ Immediate risk of out of ment within last 12 mo. home placement IF A and B CHECKED, THEN LEVEL | C. Total CAFAS score = or> 60 IF A,B AND C CHECKED, THEN LEVEL I LEVEL II A. DSM IV dependency diagnosis LEVEL II A. ___Diagnosable OR ___ Age 5 or under, signif-**B.** ___ Total CAFAS score =>30 DSM IV icantly atypical development Total CAFAS score< 30 and service dependency Residential treatment or in-home supervision for psychiatric disorder within last 12 mo. _ Serious suicide attempt within last 12 mo. DSM IV substance abuse disorder and dual disability Total CAFAS score =>30 Total CAFAS < 30 and dual disability Total CAFAS score< 30 and service dependency IF A AND B CHECKED THEN LEVEL II OR IF C CHECKED THEN LEVEL II LEVEL III **LEVEL III** ____Diagnosable OR ___ Age 5 or under, signif-DSM IV icantly atypical development A. DSM IV abuse or dependence disorder **B.** Total CAFAS Score = or > 10 IF A AND B CHECKED THEN LEVEL III **B.** Total CAFAS score = or > 10 LEVEL IV **LEVEL IV** At known risk of developing an emotional or substance abuse At known risk of developing a substance abuse disorder disorder

Signature and Date

Age/Disability____ Level of Eligibility ___

Consumer Data Warehouse

Under the new reporting requirements for the Consumer Data Warehouse (CDW), all client data that is sent to the Division will be transmitted electronically via FTP. The new CDW does not allow for on-line processing and data entry, so data can no longer be submitted on forms. The new reporting requirements are effective for all client data beginning with state fiscal year 1999/00. Several area programs have requested the Division's help in developing sample prototype forms that would assist the data collection process at the local level by incorporating changes in data items collected under the CDW. The forms included in this mailing are sample forms that may be used by area programs.

In the new Consumer Data Warehouse, begin dates and end dates for diagnoses, special population enrollments, disability assessments, and substance abuse profiles are included. This allows both a complete and accurate picture of current information and complete tracking of historical data.

There are two different approaches to designing forms to use to enter data into the area program client data system that will be sent electronically to the Divisions Consumer data warehouse:

Option 1: Current Profile/ Data Overlay Approach

This approach is based on documenting a complete current profile, and then updating the complete profile periodically. For example, all Diagnoses that are currently valid are reported at admission. At the time of a review, all current Diagnoses are reported on a separate, updated form.

Using this method, the most recent form shows a complete profile of all current information. The 'effective date' is used as the 'start date' for new current values, and the 'end date' for values that were in effect on the prior assessment, but excluded from the current one.

Option 2: Transaction Approach

This approach is based on documenting the start date and end date for each separate value. So each different diagnosis (special population, disability, etc.) will have a start data and an end date. A new value is entered as a new transaction. A value that is no longer true is ended with an end date.

Disability and Special Population Form (Replacement for LOE REPORTING FORM)

Transaction Option

Facility Code	Client Record Number	Form B Admission Date

Disability Information											
Start Date	Disability Class	Disab.	LOE	Scale Code	Scale Score	End Date					
	P-Primary A-Additional	Code 1=MH 2-SA 3-DD 4-Funded TS	1-Severe 2-Moderate 3-Mild 4-At Risk	1-CAFAS 3-GAF 4-ESI-R							
//						//					
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//						//					
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Special Population Enrollment Information								
Start Date	Special Popultion Code	End Date						
1 1			4-CAP MR/DD					
		//	6-SPMI					
/ /		/ /	7-Communicable Disease Risk					
			8-Traumatic Brain Injury (TBI)					
//		//	C-Juvenile/Criminal Justice Involvement					
, ,		, ,	D-Maternal					
			E-Youth with Sexually Aggressive Behavior					
//		/_///	F-Seriously Emotionally Disturbed (SED) Youth					
, ,		, ,	G-Deaf/Hard of Hearing					
			H-Non-English Speaking					
//		//	I-TANF/Work First Recipient					
, ,		, ,	J-Medicaid Recipient					
			K- Child in DSS Custody					
//		/_//	L- SSI/SSDI					
//			P- Pregnant					

Disability and Special Population Form (Replacement for LOE REPORTING FORM)

Overlay Option

	Facilit	y Cod	е	Client	Record	Numb	er	Form B Admission Date Effect				fective Date							
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	A-Add			1=MF 2-SA	1	2-Mod 3-Mild	erate	3-GAF 4-ESI-F)										
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					C-Juvenile/Criminal Justice Involvement														
					D-Maternal														
					E-Youth with Sexually Aggressive Behavior F-Seriously Emotionally Disturbed (SED) Youth														
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						H-Non-English Speaking I-TANF/Work First Recipient													
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ID, Demographic and Discharge Data Form (Replacement for Form B)

Data Item	Current Value	Updated Value				
IDENTIFYING INFO	DRMATION					
Area Program/Facility Code						
Client Record Number	Type Value A	Type Value				
Unique ID	U	U				
Social Security Number	s	s				
Driver License Number	D	D				
Medicaid Number	M	M				
Medicare Number	R	R				
DEMOGRAPHIC IN	FORMATION					
Admission Date						
County of Residence						
Date of Birth						
Ethnicity						
Marital Status						
Race						
Gender	Male Female Unknown	Male Female Unknown				
State of Residence						
Ability to Pay						
Commitment Status						
Competency Status						
Court Order Type						

Employer Assisted		
Program (EAP)		
Employer Code		
Education Level at		
Admission		
Employment Status		
Living Arrangement		
Admission Referral		
Source		
Veteran Status		
Consumer Status		
Consumer Status Date		
	//	
Last Served Date		
	1 1	
Accommodation for	Wheelchair 01	Wheelchair 01
Handicapped Needed	Interpreter 02	Interpreter 02
	Other 03	Other 03
English		
Proficiency	Yes No	Yes No
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Primary Language		
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Legally Responsible		
Person		
Zip Code		
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DISCHARGE DATA		
Discharge Date		
Discharge Reason		
Discharge Referral To		
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Division of MH/DD/SA Consumer Data Warehouse

Substance Abuse Forms

Data Item			Current Value				Updated Value					
IDENTIFYING I	NFORM AT							-1		-		
Area Program/Facilit		11011										\dashv
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Client Record Numb	er					-					•	
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SA USE: drugs o	f choice											
Start Date		Drug Code	Age 1 st Use		Freq	Route	Class	End Dat	e			
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SA Treatment		II.	l									
Start Date		Type	Methado	ne	UFDS	S Code		End Dat	e			
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Rick Factors								ı				
Code Code	Co	ode	Code		Code		Code		Code		Code	
												1
DRUG CODE	·											
None												
1 Alcohol												
Cocaine/Crack Marijuana/Hash	nish (Cannabis)											
4 Heroin	((((((((((((((((((((

- 05 Non-Prescription Methadone
- Other Opiates and Synthetics (Morphine, Codeine, Dilaudid, Percodan) 06
- PCP (Phencyclidine) 07
- Other Hallucinogens (LSD, MDA, Psilocybin, Mescaline) 08
- Methamphetamine (Ice) 09
- Other Amphetamines (Dextroamphetamine, Dexedrine, Amphetamine, Crank, Speed) 10
- Other Stimulants (e.g. caffeine) 11
- Benzodiazepine (Valium, Librium, Tranxene) 12
- Other Tranquilizers (Thorazine, Haldol) 13
- Barbiturates (Phenobarbital, Secobarbital, Pentobarbital) 14
- 15 Other Sedatives or Hypnotic (Doriden, Quaalude)
- Inhalants (Nitrites, Freon) 16
- Over the counter drugs (e.g. diet tablets, cough syrup) 17
- 18 Other (e.g. glue, turpentine, paint thinner, rubbing alcohol)
- 19 Tobacco